



United States  
Office of Personnel Management

# **Policy Analysis Grade-Evaluation Guide**

**Human Resources Systems Service  
Office of Classification  
December 1996, HRCD-2**

## **NOTE**

This document has been converted from the original paper format to electronic format without substantive change in series coverage or grading criteria. It was reviewed to correct errors that may have been introduced during the conversion process. In some standards minor corrections were made such as updating references to other documents that may have become obsolete, or correcting minor typographical errors in the original standard. Any errors that remain due to conversion to electronic format should be minor and are not intended to change the meaning of the original standard. If you find an error in any document on this CD, please send a FAX to HRCD - Perfection, 202-606-4891, or send a note to HRCD - Perfection, Office of Classification, U.S. Office of Personnel Management, 1900 E Street, NW, Washington, DC. The Internet e-mail address is [HR.CD@opm.gov](mailto:HR.CD@opm.gov). Identify the document, page, and error. Thank you for bringing any errors to our attention.

If you find page references near the right hand margin of this standard they indicate the pagination of the official, printed version of this standard. For example, a notation "Page 2, 4/88, TS-87" would mean that (1) page two of the printed version begins here, (2) the date of issuance was 4/88, and (3) the Transmittal Sheet number was TS-87.

# Policy Analysis Grade-Evaluation Guide

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## COVERAGE

This guide is to be used only for classifying policy analysis positions that require professional knowledge, skills, and abilities and is applicable to policy analysis assignments in both the Executive and Legislative Branches of the Federal Government. Professional occupations are identified as such in the series definitions that appear in the classification standards and in the Handbook of Occupational Groups and Series of Classes. Further, professional occupations are defined in the Instructions for the Factor Evaluation System, U.S. Civil Service Commission, TS-27, May 1977, Page 38, as follows:

"Professional occupations or series are those that require knowledge in a field of science or learning customarily and characteristically acquired through education and training that meets the requirements for a bachelor's or higher degree with major study in or pertinent to the specialized field, or distinguished from general education. The work of professional positions is creative, analytical, evaluative, or interpretive; and is characterized by personal responsibility to keep abreast of and exercise judgment and broad perspective in the application of an organized body of knowledge that is constantly studied to make new discoveries and interpretations or to improve the data, materials and methods. Also included are positions filled by trainees who meet the basic knowledge requirements and who perform work in preparation for (becoming) fully professional."

This guide provides criteria for evaluating the grade level of professional and scientific positions primarily concerned with the analysis of public policy issues and their impact on social, economic, scientific, legal, diplomatic, environmental, and other issues of national and international significance. Positions covered by this guide are found in a wide variety of traditional, academic disciplines such as biological science, economics, education, engineering, international relations, law, physical science, and social science.

## BACKGROUND INFORMATION

Policy makers have long used subject matter experts to advise them, to defend their decisions, or both. Traditionally, these subject matter specialists serve on the immediate staff of the political decision maker, providing advice and assistance on specific issues when requested. Normally the expert's analyses tend to accord with the views of the decision maker, building a supporting rationale for the position of the decision maker or providing arguments against opposing positions. Advocates of this approach believe that full and free competition between opposing ideas will result in policies and programs that are, through compromise and coalition building, acceptable to the broad majority.

The complexities of the technological and information explosions in recent years have caused many to question the wisdom of this decision making process. Many policy makers are now persuaded that an independent body of subject matter specialists, free of bias and partisanship, should also study the issues and provide balanced and objective advice. Thus, Executive Branch agencies have established staff offices and appointed career experts to examine issues

and offer comprehensive analyses of such issues. For example, offices of "policy analysis," "planning and evaluation" staffs, and "special studies" divisions are now established in most Executive Branch agencies. The Congress, in addition to its own immediate staffs, has established new agencies such as the Congressional Budget Office and the Office of Technology Assessment and redefined or expanded the roles of the General Accounting Office and the Congressional Research Service in the Library of Congress to have available advice and analysis which is, by statutory mandate, objective and nonpartisan.

The policy analyst, as defined in this guide, is set apart from other participants in the decision making process by his or her professional objectivity, nonpartisan ship, balance, and ability to provide comprehensive advice and analysis. The policy analyst serves the political decision making process by providing comprehensive, balanced information and analysis to all sides of policy issues rather than by advancing the ideas of a single decision maker, philosophy, or point of view. The policy analyst discerns and describes the interrelationship of facts and issues to one another; identifies theories and schools of thought and develops objective Criteria to evaluate them; assesses the political and institutional environment in which decisions are made and implemented; identifies and frames arguments for and against, advantages and disadvantages, risks and benefits, or strengths and weaknesses associated with particular proposals; assesses and compares the likely impact of alternative proposals; and identifies, develops, and evaluates various methods of implementing particular policy proposals.

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Policy analysts utilize a variety of techniques to accomplish the full range of their assignments. In some instances, significant emphasis is placed on the empirical method; in others, policy analysts rely more on use of quantitative techniques such as economic models, cost-benefit analysis, queuing approaches, linear programming, decision analysis, systems analysis, and simulation models in their discussion and evaluation of public issues. These techniques assist in identifying options and presenting information in a logical manner.

The organizational mission, level of issue priority time constraints, and availability of pertinent information shape the scope of an analytical effort and the range of possible policy alternatives. In addition, the policy analyst must be aware of significant historical circumstances surrounding a policy issue, precedent actions, unresolved questions, current trends, sensitivities of policy makers to proposed options, long-range effects and implications of possible courses of action, and the need to recognize and treat uncertainty.

Illustrative examples of policy analysis assignments performed by incumbents of positions covered by this guide include but are not limited to:

### Economic Affairs

An analysis of the impact of the freeze on a foreign government's assets in the U.S.; an inquiry concerning regional patterns of coal mining employment and effect of sulfur control requirements on employment; an evaluation of the results of collective bargaining agreements

in selected industries; an inquiry into public works programs and their effect in compensating for cyclical unemployment; an in-depth discussion of national labor productivity;

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## Environment and Energy

A forecast of U.S. energy supply and demand and implications for U. S. energy policy; an assessment of the national consequences of removing the restricted use classification for pesticides; a study of the effect of environmental standards on hazardous waste facilities; an analysis of water pollution control standards affecting the efficiency of industries discharging pollutants into navigable waters; a study of alternative systems for minimizing the environmental effects of polluted air emissions; an examination of alternative breeding cycles for nuclear power;

## Foreign Affairs and Defense

An analysis of human rights in the People's Republic of China and future prognosis vis-a-vis U.S. foreign policy; a study of Strategic Arms Limitation Treaty III-Air Defense Issues and Force Reduction; a study to aid in the formulation of policy guidance for the employment and deployment of nuclear weapons in support of U.S. allies;

## Human Services

An analysis of the modification or elimination of Federal impact economic assistance to local school districts educating significant numbers of children of Federal employees; an examination and evaluation of retirement income proposals for women; an examination of the options for financing the social security programs; a study to aid in the formulation of a national policy on disability services and benefits; the examination of a health care policy for the older American; an evaluation of welfare policies governing the placement of persons in institutions; an assessment of the advantages and disadvantages of a national health insurance plan; a study of the effects of Federal Government benefits on elderly participants (e.g., Medicare, Medicaid, public housing, food stamps); an assessment of the relationship between Federally-funded disability and retirement policies.

## Legal Affairs

An inquiry into liability for the discharge of water pollutants into navigable waters; a report on the constitutionality of normalization of relationships with the People's Republic of China by executive agreement rather than by treaty; advice, analysis, and other assistance concerning congressional access to privately, judicially, or executively held information; a study of the jurisdictional consequences of enactment of a criminal code revision proposal; examination of the comparability between the due process protections afforded in congressional and criminal proceedings; a report of the impact of enactment or revision of the copyright law on regulation of cable television; an analysis of various appropriation bill riders

which may effect civil rights and its enforcement; a study of the implementing legislation required by the proposed Law of the Sea Treaty.

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## **RELATIONSHIP TO OTHER STANDARDS AND GUIDES**

This guide supplements published classification standards for specific professional occupations (e.g., Economics, GS-110, Mechanical Engineering, GS-830, Nuclear Engineering, GS-840, General Attorney, GS-905, Oceanography, GS-1360). It supersedes the grade-level criteria in the individual standards for positions concerned with policy analysis. Positions that are entirely or primarily oriented to policy analysis should be evaluated by this guide. Grade-level criteria in the individual standards will still apply to positions in which the incumbents spend a preponderance of their time in work not covered by this guide.

Supervisory positions that meet fully the "minimum level of supervisory responsibility" as defined in the Supervisory Grade-Evaluation Guide should be evaluated by application of the criteria provided in that guide.

## **EXCLUSIONS**

Excluded from coverage of this guide are:

1. Positions which primarily involve planning, performing, coordinating, and/or evaluating administrative work normally associated with the internal management of government agencies. Specifically excluded from coverage are positions found in the Personnel Management Series, GS-201, the Management Analysis Series, GS-343, the Program Analysis Series, GS-345, the Financial Management Series, GS-505, and the Budget Analysis Series, GS-560.
2. Positions which primarily involve conducting professional or scientific work in support of policy analysis, for example, professional positions conducting highly expert economic, statistical, or engineering studies in support of one or a few aspects of a total policy study. Such positions are classified by reference to the classification criteria found in the published standards for that discipline, rather than the material found in this guide.
3. Positions which primarily involve the performance of professional work in collecting, processing, cataloging, preserving, retrieving, and/or transmitting recorded knowledge and information. Such positions are classified by reference to published standards for the Librarian Series, GS-1410, and the Technical Information Series, GS-1412.

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## **REQUIRED KNOWLEDGES, SKILLS, AND ABILITIES**

The knowledges, skills, and abilities (KSAs) required for policy analysis work will differ, depending on the grade level of the position and its organizational location. The KSAs listed below are the principal KSAs required to fulfill the objectives of most policy analysis functions:

1. Knowledge of a pertinent professional subject matter field or fields;
  2. Knowledge of public policy issues related to a subject matter field;
  3. Knowledge of the executive/legislative decision making process;
  4. Knowledge of pertinent research and analytical methodology;
  5. Knowledge of programs or organizations and activities to which the subject matter knowledge relates;
  6. Skill in dealing with decision makers and their immediate staffs;
  7. Skill in interacting with other specialists and experts in the same or related fields;
  8. Skill in dealing effectively with voluminous amounts of information;
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9. Skill in preparing and presenting highly complex technical material or highly complex issues, or both, to non-specialists;
  10. Skill in assessing the political and institutional environment in which decisions are made and implemented;
  11. Ability to explore and present fully the many facets of a policy issue;
  12. Ability to exercise judgment in all phases of analysis -- ranging from sorting out the most important problems, to sifting evidence, and framing feasible options;
  13. Ability to effectively express ideas orally and in writing, using appropriate language, organizing ideas, and marshaling facts in an objective manner;
  14. Ability to work effectively under the pressure of tight time-frames and rigid deadlines.



## **SERIES DETERMINATION**

Positions covered by this grade-level guide will continue to be classified to the appropriate established classification series in accordance with the definitions published in the Office of Personnel Management's "Handbook of Occupational Groups and Series of Classes," and the amplifying material in published position classification standards.

In many cases, the appropriate classification series will be one of the traditional academic disciplines such as economics, biology, physics, engineering, or sociology.

In other situations, the work of the position may require knowledge of a combination of two or more academic disciplines, or the application of knowledge characteristic of either of two (or more) academic disciplines. In such interdisciplinary situations, the job related qualifications of the incumbent or proposed incumbent are usually highly significant in selecting the most appropriate classification series.

Other positions may require extensive knowledge of a broad spectrum of a group of related disciplines rather than intensive knowledge of one or more academic disciplines. Such positions typically are classified to broader series such as the General Social Science Series, GS-101, the General Physical Science Series, GS-1301, the General Health Science Series, GS-601, the General Biological Science Series, GS-401, or the General Engineering Series, GS-801.

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## **TITLES**

Titles to be used for positions classified under this guide are the appropriate titles approved for the occupational series to which the positions are classified. For positions in occupational series for which titles have not been specified, e.g., the General Social Science Series, GS-101, or the General Physical Science Series, GS-1301, appropriate titles, e.g., Social Scientist or Physical Scientist should be used. The use of the organizational title "Policy Analyst" is authorized and encouraged.

## **GRADING OF POSITIONS**

This guide utilizes the Factor Evaluation System format but does not provide benchmarks. The wide variety of professional disciplines engaged in policy analysis and the diversity of work situations make it impracticable to develop meaningful benchmarks. The factor level descriptions provided in the guide are to be used to classify nonsupervisory professional positions involved in policy analysis work at grades GS-5 through GS-15. Please note that since most positions in this function require advanced academic degrees or equivalent experience, coupled with a knowledge of the public policy making process, positions at the full performance level presently are rarely found below GS-12. Moreover, positions below GS-11 which are involved in work associated with this function are usually trainees or

subject-matter support positions in large policy analysis organizations. Trainee policy analyst positions may be evaluated using the criteria found in this guide.

## EVALUATION NOTES

Positions should be evaluated on a factor-by-factor basis by reference to the factor level descriptions found in this guide. Only the designated point values may be used. More complete instructions for evaluating positions are contained in the Instructions for the Factor Evaluation System, TS 27, May 1977.

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## GRADE CONVERSION TABLE

Total points on all evaluation factors are converted to GS grade as follows:

GS Grade	Point Range
5	855-1100
6	1105-1350
7	1355-1600
8	1605-1850
9	1855-2100
10	2105-2350
11	2355-2750
12	2755-3150
13	3155-3600

## FACTOR LEVEL DESCRIPTIONS

### FACTOR 1, KNOWLEDGE REQUIRED BY THE POSITION

Factor 1 measures the extent of substantive and procedural knowledge that the policy analyst must possess in order to do acceptable work and the nature and extent of the skills needed to apply those knowledges. This factor includes verbal skills sufficient to formulate written or oral presentations of findings that communicate clearly their import and significance. To be used as a basis for selecting a level under this factor, such knowledge must be required and applied to the work.

Additional information regarding this factor may be found in the introductory material of this guide, particularly under the headings "Background Information" and "Required Knowledges, Skills, and Abilities."

This factor is closely related to Factor 4, Complexity, and Factor 5, Scope and Effect. Consequently, the level selected under this factor should be compatible with the levels selected under Factors 4 and 5.

### Level 1-5 -- 750 Points

A basic foundation of the concepts and principles of a professional field or discipline which provides a framework enabling the employee to perform developmental tasks for advancement to higher level public policy analysis assignments. This knowledge would typically be acquired through a Bachelor's degree curriculum in professional fields such as Economics, Political Science, International Relations, Sociology, Education, Engineering, Mathematics, and the Physical and Biological Sciences, which provides an understanding of professional methods and/or techniques necessary to carry out basic studies or analyses. Skill in applying this knowledge, through written exposition or selection of appropriate information or reference materials, to carry out elementary assignments which relate subject matter knowledge and analytical skills to the analysis of public policy issues.

OR

Equivalent knowledge and skill.

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### Level 1-6 -- 950 Points

Knowledge of the principles, concepts, methods, and techniques of a profession sufficient to perform independently analytical assignments of moderate difficulty, i.e., when public policy research methods and analytical techniques are established and reasonably applicable to the issues or study under consideration, and do not require significant departure from accepted precedents. Skill is required in the oral and/ or written communication of research efforts including formulation of issues, logical discussion of pertinent facts and data, and presentation of the findings consistent with study content. Assignments at this level are limited and may be characterized as follows:

1. The problem is straightforward, or has been singled out of a larger study;
2. Unknown factors or relationships are primarily matters of a factual nature or the processes involved are fairly well understood; and/or
3. Data can be obtained by the use of established analytical and investigative methods and techniques with minor adaptations which can be worked out by the use of conventional procedures.

OR

Equivalent knowledge and skill.

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Illustrations:

1. Knowledge of economics and skill in applying economic techniques sufficient to respond to requests from congressional offices for information and reports regarding residential housing and housing finance. Applies specific knowledge of housing and mortgage finance, quantitative techniques, econometrics, and research methodology. Prepares reports, which are usually parts of larger studies, describing Federal programs and current problems as a basis for legislative policy and examining and comparing provisions of proposed legislation. (See also illustrations 4-3 #1 and 5-3 #1.)
2. Knowledge of economics and skill in applying economic techniques sufficient to provide senior policy analysts as well as Members and committees of Congress and their staffs with factual information and analyses regarding energy use in the transportation industry. Applies specific knowledges of legislation and Federal programs related to transportation energy issues; provides factual information and writes brief analytical reports on energy consumption; analyzes and compares alternative legislative proposals; and identifies and clarifies issues in the subject matter area. (See also illustrations 4-4 #1 and 5-3 #2.)

### Level 1-7 -- 1250 Points

Professional knowledge and skills sufficient to perform a wide range of responsibilities and duties, evaluate and present divergent professional opinions affecting significant public policy issues and define and describe feasible options, including the consequences of their adoption. Typically, such knowledge would be gained through extended graduate study, or experience and professional development activities equivalent to such study in a professional field, coupled with the skill to apply this knowledge to public policy issues. Knowledge and skill at this level must include:

1. A perception of opposing views and biases within the profession;
2. The ability to use judgment in the presentation of options that represent divergent views and describe the possible consequences of adopting such options; and
3. Evidence of skill to select, organize, and present appropriate information in a concise and coherent manner and to relate such information to broad areas of public policy.

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Knowledge at this level must be sufficient to permit the initiation and maintenance of personal liaison with policy making staffs on assignments of limited scope that involve the application of specialized knowledge to questions of public policy. The differences between this level and Level 1-6 include broader comprehension of the field of knowledge, a demonstrated understanding of divergent concepts within the profession, and proficiency in research methodology.

OR

Equivalent knowledge and skill.

Illustrations:

1. Knowledge of international relations and skill sufficient to prepare background and analytical reports for Members and committees of Congress on issues facing the United States in Western Europe, including alliance relationships, East-West issues, and economic problems and relationships. Utilizes professional knowledge of international relations with emphasis on Western Europe and knowledge of international economics, as well as knowledge of the role of Congress in foreign policy and the organizational processes by which Congress deals with foreign policy questions. Ability to relate information to the policy concerns of Congress. Identifies and clarifies issues; identifies and presents opposing views without bias; evaluates policy options and examines the consequences of adopting them. (See also illustrations 4-4 #2 and 5-4 #1.)
2. Knowledge of physical science and space technology and skill sufficient to provide Congress with state-of-the-art technical descriptions and policy evaluations of technology in such areas as nuclear breeder reactors, nuclear proliferation, and space exploration. Utilizes knowledge of the theory and practical application of breeder reactors in the U.S., of the policies and issues associated with such reactors, of space policies and projects of the U.S. and the U.S.S.R., coupled with knowledge of the organization and procedures of Congress and the jurisdiction of relevant committees. Work products include descriptions of technology, explanations of theory, analyses of effectiveness of programs within the executive branch, comparison of alternative policy proposals, and analyses of the consequences of adopting various policy options. (See also illustrations 4-4 #3 and 5-4 #2.)
3. Knowledge of chemistry and skill sufficient to technically evaluate the environmental impact of regulations and law on petroleum refining and the conversion of power plants from oil to coal as an energy source. Utilizes this professional knowledge coupled with a knowledge of regulatory enforcement to personally conduct studies as well as technically review detailed technical analyses conducted by others to assist in the development of agency policy and regulations affecting significant industrial processes. (See also illustrations 4-4 #4 and 5-4 #3.)
4. Knowledge of engineering and skill sufficient to conduct specific studies related to energy proposals. Conducts significant portions of broad, in-depth technical analyses of the impact of existing or proposed regulatory and policy alternatives prepared by pertinent agency program offices. Develops energy and environmental impact models which reflect economic, scientific, and engineering considerations appropriate to the industry or geographic area being studied. Utilizes statistical, engineering, and financial analysis methodologies to forecast such effects as increased demand for domestically produced fossil fuels, increased demand for imported oil, and interfuel shifts (e.g., conversion from oil to coal); develops pro-con analyses; proposes options

and alternatives to current or proposed policies. (See also illustrations 4-4 #5 and 5-4 #4.)

## Level 1-8 -- 1550 Points

Mastery of one or more specialized areas of a professional field and skill sufficient to apply new analytical developments, methodologies, and research findings to broad public policy issues. Skill sufficient to extend and refine existing techniques and to develop new approaches to the analysis of public policy issues. Skill sufficient to conduct probing, innovative analyses involving complex variables which impact significantly on the effective development, interpretation, or implementation of important public policies. Typically, the analyst is considered by his/her peers and policy makers to be a professional authority in a specific area of public policy, and is frequently requested by policy makers or their immediate staff to conduct specific studies that require the application of these knowledges and skills to complex public policy problems.

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The differences between this level and Level 1-7 include the demonstrated ability of the policy analyst to relate complex variables within a broad field of professional knowledge to specific public policy issues in an effective and cogent manner; the ability to make realistic assessments of the political and institutional environment in which policy alternatives will be considered, chosen, and implemented; and the recognition by the decision maker of the expertise of the analyst to deal with complex issues.

OR

Equivalent knowledge and skill

Illustrations:

1. Knowledge of political science and skill sufficient to provide research and analytical information to Congress on the administration of elections, on voter participation, and on initiative and referendum. Requires expert knowledge of Federal and State election laws and of initiative and referendum laws. Skill sufficient to apply statistical methods to the analysis of voting patterns as related to variables such as election law requirements and socioeconomic factors. Skill sufficient to identify and discuss with Members and staff of Congress the impact of alternative policy proposals on election laws. (See also illustrations 4-5 #1 and 5-5 #1.)
2. Knowledge of social science and skill sufficient to respond to congressional requests for information and expert policy analysis by preparing reports regarding family and child welfare, including such subject areas as social services, marriage and the family,

Head Start programs, child and spouse abuse, and adoption. Applies comprehensive professional knowledge of the subject area, statistical methodology, and knowledge of Federal legislation and existing programs to the study of public policy questions and legislative initiatives. Identifies, defines, and proposes comprehensive policy studies which serve to define major issues and lead to new or revised legislative policy proposals. (See also illustrations 4-5 #2 and 5-5 #2.)

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3. Knowledge of social science and skill sufficient to perform in-depth analysis of the wide variety of factors relating to the establishment and evaluation of health care maintenance organizations. Uses this knowledge and skill to identify and define major issues, review appropriate source materials, and prepare agency policy documents and legislative proposals concerning health care financing and delivery of such major items as ambulatory medical care, dental care, the treatment and care of mental illness, and reduction and possible elimination of drug and alcohol abuse. (See also illustrations 4-4 #6 and 5-4 #5.)
4. Knowledge and skill sufficient to serve as a headquarters level staff specialist responsible for providing policy analysis in the fields of ocean engineering, seabed mining, and related fields (e.g., marine transportation technology, fisheries technology, land-based resource policy). Utilizing comprehensive subject matter knowledges, develops sources of information; identifies and performs analyses of issues; develops options and alternatives providing in-depth technical analyses; coordinates findings with other specialists; and prepares written reports for and/or provides oral briefings to agency policy makers. Serves as an expert representative of the agency as an active participant at national and international conferences. (See also illustrations 4-5 #3 and 5-5 #3.)
5. Knowledge of social science and skill sufficient to serve as an expert responsible for developing issues and presenting analyses of a comprehensive national policy on disability, a long-range undertaking having major implications for developing, targeting, and managing governmental and private programs for serving disabled persons at the Federal, State, and local levels. Utilizing a broad knowledge of Federal, State, local, and private human service agencies, programs, and operations, systems analysis and quantitative techniques, and expert knowledge of emerging trends in social science, social insurance, and administration of public programs relating to disability, assures that policy options are thoroughly defined and presented by critically examining complex statistical and narrative data. (See also illustrations 4-5 #4 and 5-5 #4.)
6. Knowledge and skill sufficient to serve as a professional legal specialist providing and interpreting legal information on complex questions of law of several foreign countries having similar or closely related judicial systems (e.g., England, Scotland, Wales, Northern Ireland, the Republic of Ireland, Australia) for Members of Congress, congressional staff, officials of the Legislative, Executive, and Judicial Branches, and

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others. Knowledge and skill sufficient to prepare reports, conduct oral briefings, and render legal advice and opinions concerning foreign law and enforcement practices of foreign nations. Work products of the analyst assist a wide range of Federal agencies in their formulation of legislation and regulations. (See also illustrations 4-5 #5 and 5-5 #5.)

7. Knowledge and skill sufficient to permit the policy analyst to serve as a legal expert in copyright law, regulations, and practices. Knowledge and skill sufficient to perform the most thorough and exacting legal research for cases or issues having a fundamental impact on copyright policies. Skill in presenting findings through the use of documented case law, past practices, etc., to policy making bodies. Serves as an expert resource at national and international meetings involving copyright law and policies. (See also illustrations 4-5 #6 and 5-5 #6.)

## Level 1-9 -- 1850 Points

Mastery of a range of specialized areas within a professional field and a comprehensive knowledge of public issues or programs related to a specialty field. Professional knowledge and skills sufficient to generate and apply new hypotheses and concepts in planning, conducting, and evaluating long-range projects or proposals for the solution of complex public policy questions. Interpersonal and administrative skills sufficient to organize and coordinate thorough, systematic, professional efforts which may involve multidisciplinary approaches, to meet established and anticipated needs of decision makers.

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The differences between this level and Level 1-8 include: (1) the demonstrated capability of the policy analyst to apply broad knowledge of a profession and comprehensive knowledge of public issues or programs related to the analyst's field of expertise to assist policy makers in considering policy proposals during the executive and/ or legislative decision making process; and (2) the recognition of the analyst's professional expertise by the principals in the Federal decision making process such as Members of Congress and congressional committee staff, high ranking appointed officials in the executive and legislative branch, high ranking officials in State governments, public interest groups, the courts, and subject matter experts and policy analysts in the Federal community.

OR

Equivalent knowledge and skill.

Illustrations:

1. Knowledge of biology and economics and skill sufficient to provide Members and committees of Congress with authoritative analyses of issues in the area of wildlife and fisheries as biological resources. Utilizing a comprehensive knowledge of biology and economics and the ability to plan and coordinate multidisciplinary studies leading to policy options available to Congress, applies skills to develop and evaluate legislative



proposals for the solution of complex national problems and to provide authoritative, direct, assistance to Members of Congress during hearings and markup sessions. (See also illustrations 4-6 #1 and 5-6 #1.)

2. Knowledge of political science and skill sufficient to provide authoritative assistance to congress in studies of its own rules, procedures, and organization. Requires comprehensive knowledge of the operations, rules, procedures, and organization of both the House and the Senate and the demonstrated ability to work directly with Members of Congress in examining and developing policy options (e.g., new committee jurisdictions). Recognition by Members and chairmen of such committees as select committees on congressional reorganization of the expertise of the analyst and his or her ability to provide critical assistance to their studies and proposals. Knowledge and skill sufficient to plan and coordinate long-range studies of congressional organization, rules, and procedures. (See also illustrations 4-6 #2 and 5-6 #2.)
3. Knowledge of economics and skill to act as a recognized authority in national public works and housing policy issues. As an analyst at the primary policy level in the executive branch, identifies, defines, and develops issues; and plans, conducts, and evaluates broad nationwide studies of the construction industry and housing practices and policies (such as the examination of public work as a method of counter cyclical assistance, and housing affordability in an inflationary environment). Presents detailed study results and options to policy makers at the primary policy level for their consideration and action. (See also illustrations 4-6 #3 and 5-6 #3.)
4. Knowledge and skill sufficient to serve as a recognized authority in the legal and technical analysis and development of policy options as they relate to the fostering and assuring of competition in the coal and pipeline industries. Knowledge and skill sufficient to plan, conduct, coordinate, and evaluate extensive, long-range studies and develop legal, economic, and technical analyses relating to competition in the energy industry. (See also illustrations 4-6 #4 and 5-6 #4.)
5. Knowledge of engineering and oceanography and skill to serve as the recognized expert for a major Federal agency in the broad area of coastal zone management policy. Utilizing these knowledges coupled with an extensive knowledge of the laws, programs, and activities of Federal and State Governments, personally performs, oversees, and/or coordinates studies having a significant role in the establishment of Federal policy, regulations, and legislation related to the use and management of the coastal zone. In areas of own expertise, coordinates activities with those of other executive and legislative branch agencies as well as State governments. (See also illustrations 4-6 #5 and 5-6 #5.)
6. Knowledge and skill sufficient to serve as a recognized expert in the scientific and technical analysis of strategic arms limitation issues and development of policy options as they relate to (( )) strategic and theater nuclear issues of arms limitations

negotiations. Knowledge of such areas as force planning and analysis, offensive and defensive strategic forces and potential threat forces, and a thorough knowledge of overall national security objectives, policies, and planning. Skill in applying these knowledges to analyze, develop policy options, and present study results of the most complex and significant major defense program issues and policy alternatives. (See also illustrations 4-6 #6 and 5-6 #6.)

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7. Knowledge and skill sufficient to serve as a recognized expert in Social Security financing and to undertake comprehensive analyses of the issue. Knowledge of Social Security principles, broad economic and demographic trends, and social science analysis techniques (e.g., case studies, statistical analyses, use of computer models) sufficient to have the confidence of high ranking Members of Congress and committee staff in assessing options for strengthening the financing of the Social Security system. Ability to apply judgment in discerning the fundamental causes of financial difficulty; to assess the political and institutional environment in which financing options will be considered, chosen, and implemented; to knit historical perspective and multiple skills and knowledge in framing and assessing alternatives; to lead other analysts in team efforts; and to work effectively with the highest level congressional counterparts in planning hearings, drafting reports and analyses, and providing on-the-spot advice to committee staff in markup and conference sessions. (See also illustrations 4-6 #7 and 5-6 #7.)
8. Knowledge and skill sufficient to provide Members and committees of Congress with analysis, advice, and assistance in the area of election law. Requires a comprehensive knowledge of Federal and State election laws, including judicial interpretation of constitutional restrictions, to develop and evaluate alternatives for the use of Members and congressional committees considering modification of Federal election law. Knowledge and skill sufficient to provide authoritative, direct, assistance to Members and senior staff during the various stages of legislative consideration including introduction, hearings, markup sessions, preparation of committee reports, floor debates, and conferences. (See also illustrations 4-6 #8 and 5-6 #8.)
9. Knowledge and skill sufficient to provide Members and committees of Congress with authoritative analysis, advice, and assistance on complex tax issues. Utilizes a comprehensive knowledge of Federal tax law, including judicial and administrative interpretations sufficient to suggest, advise on, and analyze for Members and congressional committees proposals for revision of existing Federal tax laws and the use of the tax structure to address other major policy issues. Knowledge and skill sufficient to provide authoritative, direct, assistance to Members and senior staff during the various stages of legislative consideration including hearings, markup sessions, committee reports, floor debates, and conferences. (See also illustrations 4-6 #9 and 5-6 #9.)

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## **FACTOR 2, SUPERVISORY CONTROLS**

"Supervisory Controls" covers the nature and extent of direct or indirect controls exercised by the supervisor, the employee's responsibility, and the review of completed work. Controls are exercised by the supervisor in the way assignments are made, instructions are given, priorities and deadlines are set, and objectives and boundaries are defined. The responsibility of the analyst depends upon the extent to which he or she is expected to develop the sequence and timing of various aspects of the work, to modify or recommend modification of instructions, and to participate in establishing priorities and defining objectives. The degree of review of completed work depends upon the nature and extent of the review, e. g., close and detailed substantive and procedural review of each phase of the assignment; detailed substantive review of the finished assignment; or review for adherence to agency policy.

In a significant number of policy analysis functions, it is common- place to find senior policy analysts planning and coordinating projects of considerable scope, breadth, and complexity. Although many of these senior analysts may not perform the full range of functions which would cause them to be designated as a supervisor, senior analysts in such work settings are often placed in a leadership role over other policy analysts which may have a significant impact on the evaluation of this factor. In evaluating positions which are found in such situations, it is often necessary to explore not only the employee's relationship to his or her officially designated first-line supervisor, but also the analyst's relationships with senior analysts serving as project leaders, to gain a complete understanding of the supervisory controls over the work performed.

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### Level 2-1 -- 25 Points

Assignments are made by the supervisor or a senior policy analyst along with clear, detailed, and specific instructions as to form, methodology, sources, and priority.

The analyst consults with the supervisor or a senior policy analyst on all problems not covered in original instructions.

Work products are reviewed for form, accuracy, appropriate organization, methodology, responsiveness, sources, and conformance with agency policy. Work products are routinely modified at the supervisor's discretion.

### Level 2-2 -- 125 Points

Assignments are made by the supervisor or a senior policy analyst along with instructions as to priority of assignment. Additional specific instructions on methods and sources are given if the assignment is new, difficult, or unusual.

The analyst independently carries out routine assignments but refers unforeseen problems and unusual situations to the supervisor for help or decisions.

Work products are reviewed for accuracy, responsiveness to policy maker's needs, appropriate organization of written responses, methodology, sources, and conformance with agency policy.

### Level 2-3 -- 275 Points

Assignments are made by the supervisor or a senior policy analyst, who provides general direction as to objectives, priorities, and deadlines and gives assistance in unusual situations which do not have clear precedents.

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The analyst independently plans and carries out assignments in accordance with general directions, agency policies, previous training, or accepted professional practices.

As appropriate, products are reviewed for accuracy, responsiveness, appropriate organization of material, and conformance with agency policy.

### Level 2-4 -- 450 Points

Assignments are made by the supervisor but may originate out of the liaison activities of the analyst, who consults the supervisor prior to final acceptance of projects to be undertaken on question of priority, scope, deadlines, and objectives.

The analyst independently plans and carries out projects, coordinating the work of other analysts where appropriate. In some assignments, the analyst determines the approach to be taken and the methodology to be used. In others, the analyst may modify the approach or methodology based on suggestions offered by professional peers. The analyst informs the supervisor of progress, potential controversy, or far-reaching implications.

As appropriate, completed work is reviewed by the supervisor for responsiveness and conformance with agency policy. Completed work may also be subjected to substantive review by professional peers.

### Level 2-5 -- 650 Points

The supervisor typically provides administrative direction. Overall assignments are made in terms of broadly defined functions of the employing organization. Specific assignments frequently originate out of the liaison activities of the analyst, who independently negotiates the scope and objectives of projects with the policy maker or staff, subject to general agency policies and operating requirements.

The analyst assumes responsibility for planning, coordinating, and carrying out projects and informs the supervisor of progress as appropriate.

The analyst at this level is often the most authoritative professional in a particular field within the employing agency. The work is, therefore, generally considered to be technically accurate and is often not subjected to detailed substantive review by the supervisor. Substantive review by peers, where appropriate, is usually initiated by the analyst. Work products are examined, however, for compliance with broad agency policy and responsiveness to the needs of the policy maker.

### **FACTOR 3, GUIDELINES**

This factor covers the nature of guidelines and the judgment needed to apply them. Positions vary as to the availability, applicability, and specificity of the guidelines for performance and assignments. Consequently, the constraints and judgmental demands placed upon policy analysts also vary. For example, the existence of specific agency policies, procedures, and instructions may limit the opportunity of some policy analysts to explore fully all facets of a particular policy question or to limit the analyst's ability to recommend decisions or actions. However, in the absence of established procedures or under broadly stated objectives, the policy analyst may use considerable judgment in searching the literature; formulating policy study criteria and methodology; defining, describing, and comparing study findings; and presenting policy options.

Guidelines should not be confused with the knowledges described under Factor 1, Knowledge Required by the Position. Guidelines either provide the context in which the work is to be accomplished or impose certain constraints on the use of knowledges. For this factor, guidelines refer to standard or established guidelines, precedents, methods, and procedures, including:

1. Agency manuals of instructions and operating procedures;
2. Professional literature;
3. Findings of previous studies;
4. Precedents dealing with areas such as formulation of study criteria, methodology, comparison of data, and presentation of options;
5. Existing laws and regulations;
6. Executive Orders;
7. Standard textbooks;
8. Judicial decisions;
9. General Accounting Office decisions;

10. Administrative law decisions.

### Level 3-1 -- 25 Points

Specific, detailed, guidelines covering all important aspects of the assignment are provided to the analyst.

The analyst works in strict adherence to the guidelines. When guidelines are not available or are not directly applicable, the supervisor specifies materials or persons to be consulted in the preparation of the response as well as the form and type of response. Deviations must be authorized by the supervisor or a senior analyst.

### Level 3-2 -- 125 Points

Procedures for performing the work have been established and some specific guidelines, such as style manuals and guides to writing brief analyses, organizational manuals, budgetary documents, previous studies, and professional literature are available.

At this level, the analyst is in a stage of learning guidelines through exposure to a variety of work situations that require some judgment in the selection of the methodology most appropriate in responding to policy maker's needs. In many work situations, guidelines covering this function are unwritten and traditional, and judgment is required in knowing when to seek assistance from supervisors or senior analysts in the proper application of these guidelines.

### Level 3-3 -- 275 Points

Procedures for performing the work are established and some specific guides are available. Guides are not completely applicable to many work situations.

Typically, the analyst is thoroughly familiar with the guidelines that apply to routine work situations and also in becoming adept at (()) interpreting and applying guidelines and precedents in non-routine situations without referring questions to others. The work assigned typically has aspects of sensitivity which require more mature judgment regarding the implications of choices of methodology.

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### Level 3-4 -- 450 Points

Specific policies and precedents are applicable but typically stated in general terms. The guidelines of major concern at this level are broad policy statements regarding such matters as objectivity, responsiveness, and timeliness.

The analyst often is required to deviate from traditional professional methods and to develop new evaluative criteria and methodology. The analyst's increasing visibility and ongoing professional relationships with policy making bodies require judgment and ingenuity in maintaining objective, professional standards.

## Level 3-5 -- 650 Points

The guidelines of concern at this level are basic legislation and broad agency policy statements. Frequently, there are no precedents to govern behavior in unusual and sensitive situations.

The analyst must exercise considerable judgment in interpreting and adapting existing precedents and in developing new or improved approaches to analyze, develop, and present authoritative information or analyses on controversial and nationally important subjects to persons with conflicting views. The methods and procedures developed often serve as precedents for other analysts.

### **FACTOR 4, COMPLEXITY**

This factor covers the nature, number, variety, and intricacy of tasks, steps, processes, or methods in the work performed; the difficulty in identifying what needs to be done; and the difficulty and originality involved in performing the work.

To properly evaluate policy analysis work with respect to this factor, careful attention must be given to ensure that all the complexities of the assignments are considered. It is often necessary to look beyond specific assignments and examine the problems and questions that face the policy analyst and what must be done to complete the work and solve the problems encountered.

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In some assignments, it may appear that the analyst may be simply providing factual information in response to specific requests. However, to provide reliable statistical and/or narrative data the work may require the analyst to consult with a wide variety of sources and may compel the analyst to make judgments as to the reliability of the sources; it may involve providing information based on incomplete and conflicting data under the demands of rigid deadlines; and it may require the analyst to analyze the data collected to evaluate its reliability, discern interrelationships (e.g., between narrative and statistical findings), and provide a balanced response which will be meaningful to the decision maker.

In other, more complex assignments, the analyst may need to consult with decision makers and their immediate staffs to define the request in terms which will lead to a meaningful study of an issue. In this setting the policy analyst must, in a sense, identify the issue; review the available history on the subject or subjects and the current status of congressional and/or executive debate or interest; identify and review the various perceptions of the parties involved; and then define the issue in a context that reflects political and institutional constraints and is useful to the policy maker. Once the issue has been described in terms which may be subjected to analysis, the analyst must identify options, considering such factors as existing programs (if any) and their relevant laws and regulations, previous or present executive or legislative proposals, studies and recommendations made by other study groups, and previous congressional testimony. The analyst must then study options,

considering such variables as the impact of various options on human and economic resources, the Federal workforce, the budget, and the environment. The analyst may then assess the probable accuracy of impact estimates, rank the advantages and disadvantages of each option, and present the completed study in a balanced, clear, meaningful manner to the policy-maker.

### Level 4-2 -- 75 Points

The work is comprised of related steps and methods, such as searching for and identifying sources of information and selecting, compiling, and arranging data. The analyst searches for and identifies facts, considers their relevance to the question, and arranges them in a logical and clear manner. The main variables typically encountered are the nature and time constraints of the assignment, which affect the type of sources consulted and the method of presentation. Little originality is required in dealing with unusual, incomplete, or conflicting data, because unusual situations are referred to higher level analysts or the supervisor. The analyst provides factual information clearly in response to requests.

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### Level 4-3 -- 150 Points

Assignments are of greater variety than the previous level and often involve different but conventional methods, techniques, or approaches and require the analyst to select an appropriate course of action from a variety of possible alternatives. The analyst typically: (1) searches for and identifies facts, analyzes them, and reports them in a logical and clear manner; (2) judges authoritativeness of facts, analyzes them to discern interrelationships, and decides on thoroughness of information to be used in the response; and (3) provides factual and analytical information in a clear, balanced manner to higher level analysts for use in their reports, or directly to policy makers and their staffs.

#### Illustration:

Identifies and analyzes data for the Congress on housing and housing finance from a variety of sources, including information and reports from executive branch agencies, the Federal National Mortgage Association, and the housing finance industry to define and describe problems which confront legislative policy makers on these issues. Analyzes relationships among existing legislation, Federal programs, and the activities of the housing and housing finance industries to clarify issues. Decides on thoroughness of information to be used in the response given the nature of the inquiry. Provides factual and analytical information in a clear, balanced, manner to higher level analysts for use in their reports; or directly to the staffs of Members and committees of Congress. (See also 1-6, illustration #1.)

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### Level 4-4 -- 225 Points

Assignments require the use of a variety of unrelated analytical methods and techniques of a professional field or discipline. The analyst typically: (1) selects, organizes, and presents



information, identifies bias, analyzes interrelationships, and presents and evaluates policy options; (2) deals with unusual circumstances (e.g., under rigid deadlines, often works with voluminous and/or incomplete and conflicting information and data), chooses from among various analytical methods depending on the type of data and the nature of the task, and identifies and defines unclear issues; and (3) decides on form, content, scope, and depth of response and interpret and presents balanced findings.

#### Illustrations:

1. Collects and analyzes economic and engineering data regarding transportation energy issues from a variety of governmental, industrial, and academic sources. Based on requests from congressional offices, selects, organizes, and presents factual information and analyses regarding such issues, organizing the material to properly identify biased information or data when it may affect the possible conclusions which may be drawn from the report. Dealing with voluminous and conflicting information, selects and analyzes material which will aid in defining problems and more clearly present the wide variety of issues; decides on form, content, scope, and depth of response; compares and presents policy options. (See also 1-6, illustration #2.)
2. Selects, organizes, and presents information and writes analytic reports for the Congress concerning international political and economic issues facing the United States in Western Europe. Defines and studies issues, identifying and elaborating on the often conflicting consequences of different policy goals. Identifies and evaluates policy options available to the Congress, including possible legislative initiatives. Discusses the pros and cons of policy options from various points of view. Decides on form, content, scope, and depth of response depending on the requirements of the requesting congressional office. Presents balanced and objective reports orally or in writing to the Congress on subjects of legislative concern within this issue area. (See also 1-7, illustration #1.)
3. Collects and analyzes information regarding the technical aspects of breeder reactors, the issue of nuclear proliferation, the goals and results of space exploration, Soviet space activities, and the relative costs and benefits of different technologies in power production and in space exploration. Presents and evaluates policy options, discussing technology, costs, and impacts on related policies such as restricting nuclear proliferation. Deals with voluminous information, particularly with regard to the space programs of the U.S. and the U.S.S.R.; discerns and identifies bias; defines issues and evaluates options; presents balanced and objective reports orally or in writing to Congress and assists with the planning of hearings and examination of proposed legislation. (See also 1-7, illustration #2.)
4. Collects and analyzes qualitative and quantitative data gathered by agency regional offices, industry, and a variety of other public and private sector sources to aid in the development of options to coordinate, expedite, or otherwise improve the monitoring

and enforcement of the Clean Air Act in the petroleum refining industry. Conducts studies which affect the development of agency policy in the energy field where data are inadequate or improvement in gathering data and developing evaluative criteria is necessary. Such studies include: (a) analysis of the environmental impacts of various new energy sources such as synthetic liquid fuels, oil shale, and coal gasification; (b) analysis of the energy and environmental impact of the control of various gasoline additives; and © analysis of the impact of environmental control regulations on energy consumption, energy facility site location, and energy costs. Working with a wide variety of information obtained from sources which often have conflicting goals, establishes evaluative criteria; examines data using quantitative and qualitative techniques, modifying and adapting methodology to meet the needs of the specific study; evaluates results and describes options and alternatives. (See also 1-7, illustration #3.)

5. Collects and analyzes engineering and economic data from agency program offices, other governmental sources, and private industry to aid in developing energy policy alternatives (e.g., given the decision to establish a Strategic Petroleum Reserve, when and how rapidly should oil be acquired, and how should such oil be stored). Exercises substantial creativity in visualizing the impact of energy policy alternatives (feasibility, effectiveness, necessity, practicability). The analyst extends and applies quantitative techniques to solve selected problems. Develops innovative approaches to problems such as the identification and assessment of the underlying relationships between energy goals and environmental requirements, price changes (or price controls), changing markets, and changing technologies. As a member of an agency headquarters study group, participates in the development of proposals, options, and recommendations for use by top management in consideration of national energy policy alternatives. (See also 1-7, illustration #4.)

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6. Collects and analyzes qualitative and quantitative data concerned with the establishment and operation of health care maintenance organizations. Assesses the needs of policy makers based on written requests and personal contacts; establishes the boundaries of studies through consultation; defines evaluative criteria based on expressed needs of the policy maker; applies criteria to examine quantitative and qualitative data collected from Federal, State, industrial, and other sources; formulates and articulates specific problems; analyzes and evaluates alternatives; writes reports of findings and analyses of options regarding financing and delivery of long-term health care for the elderly, disabled, and chronically ill. (See also 1-8, illustration #3.)

## Level 4-5 -- 325 Points

Assignments include a broad range of professional duties involving substantial depth and breadth, numerous interrelationships, complex variables, and new theories and methodologies. The analyst probes and analyzes information collected from a wide variety of

sources to determine the nature and scope of the problem, interprets this material, and develops policy options. The work involves substantial depth, breadth, and intensity of effort, involving numerous interrelationships. The analytic work may involve the effort of a single analyst, or it may require the analyst to coordinate the efforts of several subject matter specialists. Determination of approaches and planning of projects require the selection of current methodologies, theories, and research in the appropriate professional subject field or fields. The work requires the analyst to review unresolved issues; synthesize and simplify complicated information; define, describe, and compare policy alternatives; assess political and institutional constraints; summarize study results; and present findings to policy makers to aid them in examining complex policy proposals.

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#### Illustrations:

1. Plans and conducts policy studies on the administration of elections, on voter participation, and on initiative and referendum. Studies are characterized by numerous variables and complex interrelationships, and require the use of sophisticated statistical methodologies. Problems posed by congressional involvement in the question of elections and voter participation must be analyzed so that the nature of the problem is clearly understood and defined and can be subjected to proper analysis. Assignments include the evaluation and development of policy alternatives related to elections and voter participation as well as initiative and referendum questions. The complexity of statistical analyses may require that the analyst coordinate the efforts of several participants in the assignment. The work requires the analyst to review, summarize, and present findings to aid policy makers in examining complex policy proposals. See also 1-8, illustration #1.)
2. Assignments include a broad range of projects involving complex variables and numerous interrelationships in the field of family and child welfare. Voluminous qualitative and quantitative data must be analyzed to determine the nature and scope of the problem, to discern interrelationships between socio-economic conditions and family and child welfare needs, and to develop policy options available to Congress. The work may require coordination of analytical efforts of other analysts who are expert in the fields of economics and nutrition as well as those with comprehensive knowledge of social service programs. Work products may include written reports and memoranda, oral briefings, seminars, workshops, and personal assistance in defining problems and planning studies which will aid in developing and examining policy proposals. (See also 1-8, illustration #2.)
3. Utilizing professional expertise in the fields of ocean engineering and the economics of seabed mining, develops, personally conducts, and/or coordinates studies of issues related to ocean affairs, marine transportation, energy, water resources, telecommunications, and other scientific and technological matters regarding oceans policy. In consultation with policy makers, identifies and defines specific issues, develops sources of information, personally develops or coordinates the development of data, performs analysis using a variety of quantitative and qualitative techniques

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and methods, synthesizes results, and prepares comprehensive reports for use by decision makers in formulating oceans policy, developing regulations, and proposing changes in legislation. (See also 1-8, illustration #4.)

4. As a principal analyst on disability policy, develops a wide variety of policy analysis documents to aid decision makers in proposing legislation and making changes in existing programs. Identifies areas of major concern; reviews current projects; searches pertinent literature, evaluations, and studies, which often contain voluminous and conflicting data; discusses issues with other Federal and non-Federal experts and program officials; considers legislative developments and assesses programmatic trends. Defines and describes issues; develops options; devises and predicts the impact of various alternatives. Summarizes and presents findings to policy makers. (See also 1-8, illustration #5.)
5. Utilizing professional expertise in the law of several foreign countries, conducts legal research concerning a wide variety of issues (e.g., taxation, anti-trust law, immigration law and practices, civil rights, veterans benefits, and property rights). Conducts extensive review of a wide variety of statutes, codes, regulations, and other documents; resolves problems of incomplete or conflicting information, and renders findings in the form of written reports and/or oral briefings for use by decision makers in formulating policy, developing legislation, or writing regulatory requirements. (See also 1-8, illustration #6.)
6. Plans and conducts studies of the legal issues involved in developing proposed copyright legislation and formulating copyright policy regulations. Examines unusually complex or poorly defined national and international legal problems; discusses boundaries of studies with appropriate authorities; searches pertinent literature; develops and defines options; writes reports outlining possible alternatives and recommends possible courses of action to resolve critical problems. Presents written and oral reports to Copyright Office officials, the Congress, various executive branch agencies, and special copyright interest groups outside the Federal Government. (See also 1-8, illustration #7.)

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## Level 4-6 -- 450 Points

The work calls for application of the broad functions and processes of a profession to public policy issues in areas of national interest. The issues are often characterized by unusual demands due to extraordinary public interest considerations. The analyst evaluates and interprets policies and projects, develops a range of alternatives for the solution of policy problems, and coordinates the work of other professionals in a variety of disciplines to accomplish several phases of complex projects concurrently or sequentially. Problems are often undefined at the outset of the assignment. Variables to be considered often cross disciplinary lines. New hypotheses and concepts may have to be generated and applied to resolve critical and intractable problems. The work aids policy makers in interpreting and

analyzing policy problems of national or international significance. The analyst organizes and presents policy options, and often is required to anticipate the direction of policy questions.

Illustrations:

1. Conceives, plans, and conducts studies (often multidisciplinary and involving several analysts, e.g., biologists, engineers, economists, lawyers, international relations experts) of problems and policy proposals in the area of wildlife and fisheries as (()) biological resources. Problems often involve numerous complex interrelationships and competing and powerful interests, thus requiring definition of the problems and development of unique methodological approaches to their solution. The analyst provides on-the-spot authoritative information to Members of Congress during hearings and markup sessions. Helps plan hearings and develops legislative responses to problems of national or international scope. Anticipates the need for policy studies and advises Members and relevant committees of the need for study of long-range problems. (See also 1-9, illustration #1.)
2. Conceives, plans, and conducts studies and provides considerable personal assistance to Members and committees of Congress regarding procedures, rules, and organization of the House and Senate. Serves as an authoritative source of information and analysis to Members and committees, including select committees studying congressional organization and committee jurisdiction. Provides expert advice in planning and conducting congressional hearings, suggests witnesses and questions to be asked, aids in the markup of bills, and prepares papers which analyze options and alternatives. (See also 1-9, illustration #2.)
3. Conceives, plans, conducts, and coordinates broad policy studies of national significance, for example, a study of the national problems involved in the affordability of housing in an inflationary environment, including in-depth research into such factors as housing prices, consumer purchasing power, regional variations in prices, the various components of housing costs, demographic considerations, consumer preferences, cost of capital to homeowners, measurement of actual home ownership costs, the current Federal tax structure, the inflationary environment, and housing as a source of equity accumulation; develops policy options regarding matters such as the probable results of changes in the current tax structure or credit structure on home buyer patterns and on the housing industry. Plans, conducts, and/or coordinates the collection of data and information from a wide variety of sources (e.g., from other Federal, State, and local agencies, industry, universities, and foundations). Assesses data, develops and writes study findings and identifies options open for consideration. Findings are considered authoritative in the field and provide decision makers at the primary policy level of the executive branch with options which are considered in examining and developing national housing policy. (See also 1-9, illustration #3.)

4. Plans, conducts, and coordinates extensive studies requiring legal, economic, and technical analyses relating to competition in the energy industry. Work involves the formulation of appropriate strategies, usually without existing guides or precedents, to obtain appropriate assumptions as a basis for the evaluation of study results. Personally conduct research as well as coordinates the efforts of other analysts in examining such subjects as horizontal diversification across energy supply industries; vertical integration; possible strategies for dealing with international cartels; the effect of joint ventures on competition; the impact of Government regulations and subsidies on competition; and the structure, conduct, and performance of the oil, gas, coal, nuclear, solar, and other energy industries. Exercises primary responsibility for developing goals, analytical framework, and appropriate research methodology to be used in each aspect of the study, and, where work is performed by others, for reviewing and consolidating final work products. Final results are presented to decision makers to serve as a definitive basis for making major regulatory changes and recommending significant legislative proposals. (See also 1-9, illustration #4.)
5. Conceives, plans, and conducts multidisciplinary policy studies dealing with national issues related to coastal zone management (e.g., the onshore impacts of offshore oil and gas discovery and recovery, including such factors as siting analysis; economic analysis; demographic, environmental, and fiscal impacts; and specific effects on coastal communities). Plans and coordinates nationwide data collection and engineering research as they relate to the coastal zone. Critically reviews and evaluates or personally performs analysis of significant issues where few precedents are available for defining issues. Work products have a significant influence in proposing major changes in regulation and legislation related to the area of the analyst's expertise. (See also 1-9, illustration #5.)

6. Plans, conducts, and coordinates extensive studies to analyze and evaluate U.S. and U.S.S.R. arms control proposals, including the assessment of the implications of alternative arms limitation proposals on future systems and capabilities of the U.S. strategic forces and on the present and future balance of power, and the analysis and evaluation of long-range theater nuclear forces and programs and their ability to perform their strategic missions in a Strategic Arms Limitation Treaty (SALT) environment. Identifies and defines issues and problems in major program areas where useful precedents do not exist and where there are divergent and conflicting views of such issues; develops and establishes new concepts and approaches; utilizes a wide variety of qualitative and quantitative techniques to examine information and data which may contain critical gaps or are of limited reliability; conducts extensive coordination with other organizations and agencies to verify findings; and prepares final reports. Work products are presented to agency decision makers and serve as a definitive basis for making significant policy proposals. (See also 1-9, illustration #6.)

7. Plans, conducts, and coordinates multidisciplinary studies to analyze and evaluate the financial condition of the Social Security system. Identifies the underlying causes of the problems from among a wide variety of interactive elements -- programmatic, economic, and demographic in nature. Defines the problem in a manner which permits both the short-range, immediate problems to be addressed, while also looking far into the future (the year 2000 and beyond) to ensure financial adequacy in a long-range actuarial sense. Frames options in an area where differences of opinion may be sharp, political consequences great, and public understanding of the issue may be very limited. Uses a wide variety of other specialists (economists, demographers, actuaries, program specialists), to provide the basic data for his or her own analysis, applying judgment in the evaluation and combination of such knowledge into a single product. Work products are often used directly in the decision making processes of the Congress, are completed for committee staff leaders or Members, are frequently prepared under short deadlines, and usually require on-the-spot supplementary advice to congressional clients. (See also 1-9, illustration #7.)

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8. Conceives, plans, and conducts studies and provides personal assistance to Members and committees of Congress regarding the various legal and other public policy related issues associated with congressional and Presidential elections. Serves as an authoritative source of information and analysis to Members and committees concerned with the statutory or constitutional alteration of the laws and procedures currently utilized in such elections. Provides expert advice at various stages of the legislative process, including suggesting organizational proceedings, witnesses to be called, and questions to be posed for congressional hearings. Assists in the preparation of reports and the conduct of markup sessions, providing advice, analysis, and like services during floor debates and conferences. (See also 1-9, illustration #8.)
9. Conceives, plans, conducts, studies and provides personal assistance to Members and committees of Congress concerning legislative proposals to modify the Federal tax structure and to utilize taxing mechanisms in connection with resolution of a wide variety of other policy issues. This may involve coordination of efforts in other fields to address complex policy issues. Provides expert advice, analysis, and other assistance to the principal congressional participants at various stages of the legislative process, including hearings, markup sessions, reports, floor debates and conferences. (See also 1-9, illustration #9.)

## **FACTOR 5, SCOPE AND EFFECT**

This factor covers the relationship between the nature of the work, i.e., the purpose, breadth, and depth of the assignment, and the effect of work products or service both within and outside the organization. Effect measures such things as whether or not the work output facilitates the work of others, provides timely services of a personal nature, or impacts on the adequacy of research conclusions. The concept of effect alone does not provide sufficient

information to properly understand and evaluate the impact of the position. The scope of the work completes the picture, allowing consistent evaluations. Only the effect of properly performed work is to be considered.

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### Level 5-1 -- 25 Points

The work involves performance of specific, routine functions that include separate tasks or procedures, such as the gathering of information or statistics as part of a larger policy analysis project.

The work performed is required to facilitate the work of other analysts or staff and its impact is limited to its immediate contribution to a larger project or the timely provision of limited service, e.g., the provision of specifically requested information to aid senior policy analysis staff within the organization.

### Level 5-2 -- 75 Points

The work includes performing analyses involving projects of limited scope and depth, or complete segments of an assignment or project of broader scope.

The completed work generally contributes to other policy analysis projects and affects the reliability, accuracy, or acceptability of such analyses.

### Level 5-3 -- 150 Points

The work involves the presentation of requested information in a conventional format or the presentation of limited analyses of public policy questions.

The information provided to and the analyses performed for various clientele serve to define or clarify public policy issues and to identify alternative approaches to their solution or management.

#### Illustrations:

1. The purpose of the work is to present information and brief analytical reports to congressional offices regarding legislative proposals and existing Federal programs and their effect on the housing and housing finance industries. The work aids in defining and clarifying public policy issues and provides the analytical basis for alternative legislative policy proposals. (See also 1-6, illustration #1)
2. The purpose of the work is to respond to requests from congressional offices to identify, analyze, and present technical and (( )) economic information and brief analytical reports on transportation energy issues. The work defines issues and provides the basis for alternative legislative proposals. (See also 1-6, illustration #2.)



## Level 5-4 -- 225 Points

The purpose of the work is to provide authoritative information on, and analysis of, public policy questions or legislative proposals, and to summarize alternatives for consideration by policy makers.

The work product or service (e.g., analytical reports, written and oral correspondence) aids the policy making activity of the Congress or a Federal agency by defining the impacts of the various alternatives to a given problem or proposal.

### Illustrations:

1. The purpose of the work is to provide background papers for use in hearings, or to develop material which is used to brief Members of Congress. The analyses and information developed provide authoritative information and evaluations of problems and issues facing the U.S. in Western Europe; offers comparisons and evaluations of alternative solutions to policy problems; and clarifies the issues and the choices facing policy makers. (See also 1-7, illustration #1.)
2. The purpose of the work is to provide authoritative information on technology in such subject matter areas as nuclear breeder reactors and space exploration, and analysis of policy issues in these areas. The work identifies, summarizes, and compares policy options. The work affects legislative policy making by defining issues, planning studies of problems, and evaluating policy options. (See also 1-7, illustration #2.)
3. The purpose of the work is to provide legal and technical analyses of a variety of unusual conditions, problems, and questions related to the implementation of the Clean Air Act. Reports produced provide agency decision makers with a variety of alternatives in implementing basic legislation. (See also 1-7, illustration #3.)
4. The purpose of the work is to investigate and assess the scientific and engineering aspects of developing energy alternatives. The technical reports, correspondence, and oral briefings provided by the analyst aid in defining the impact of various agency alternatives to existing policy, and aid in providing technically sound alternatives to such policy. (See also 1-7, illustration #4.)
5. The purpose of the work is to provide authoritative reports through the synthesis of a wide variety of information from Federal, State, and private sector sources regarding the development and improvement of health maintenance organizations. Written and oral reports produced by the analyst serve to establish departmental policy and regulatory guidance and are used to develop appropriate portions of proposed legislation in the subject area. (See also 1-8, illustration #3.)

## Level 5-5 -- 325 Points

The purpose of the work is to provide authoritative information and analysis, either written or oral, which identifies, interprets, and develops alternatives and options to complex questions of public policy.

The work makes a significant contribution to the planning and evaluation of policies and projects of executive and/or legislative concern through the application of new and relevant theories and the synthesis and analysis of a range of approaches to public policy issues.

Illustrations:

1. The purpose of the work is to provide authoritative information and analyses to Members and committees of Congress which examine, compare, and develop policy options available to the Congress in the subject areas of elections, voter participation, initiative and referendum. The work provides new approaches to understanding the identified problem and contributes to the planning of legislative solutions. (See also 1-8, illustration #1.)
2. The purpose of the work is to provide authoritative information and analyses which examine Federal programs relating to child and family welfare and which develop, interpret, and compare legislative policy proposals to deal with problems in the field. The work provides legislative decision makers with authoritative analyses of a variety of policy options. (See also 1-8, illustration #2.)
3. The purpose of the work is to investigate and analyze a broad variety of engineering and technological problems as they relate to ocean engineering and seabed mining. The analyses performed and the authoritative reports produced offer agency decision makers a wide variety of options and alternatives in their development of agency policy, in proposing new or revised legislation, and in conducting international negotiations. (See also 1-8, illustration #4.)
4. The purpose of the work is to define issues and describe alternatives to critical policy problems associated with disabled individuals in the broadest sense, including income maintenance, rehabilitation, employment, independent living, housing, transportation, civil rights, and other needs related to enabling disabled persons to function in the family, community, and society. The work produced by the analyst provides agency decision makers with a wide variety of approaches in establishing programs and/or proposing legislation to meet the needs of disabled persons. (See also 1-8, illustration #5.)
5. The purpose of the work is to research and define various aspects of the laws of foreign nations; and to identify, interpret, and develop material which can be understood and utilized by U.S. policy makers to formulate domestic legislation, develop regulatory requirements, or promulgate U.S. policy. (See also 1-8, illustration #6.)

6. The purpose of the work is to provide authoritative written reports and memoranda as well as oral briefings on the wide variety of issues associated with copyright law. Information and reports provided by the analyst aid in the development of copyright policy and offer alternatives in the development of new or revised legislation and in the development of international copyright agreements. (See also 1-8, illustration #7.)

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## Level 5-6 -- 450 Points

The purpose of the work is to plan and conduct analyses of vital public policies which are of national or international interest, scope, and impact; to generate and apply new hypotheses and concepts in the evaluation of complex public policy questions; to anticipate the nature and direction of public policy questions; and to organize and present options for the use of appropriate policy making bodies.

The work performed by the analyst provides the policy makers with authoritative information and analyses and provides a basis for decisions affecting major current and long-range policies and proposals that affect the activities and operations of the executive or legislative branches of the Federal Government.

### Illustrations:

1. The purpose of the work is to initiate, plan, and conduct policy studies of important national and international problems related to fisheries and wildlife, to define issues, to develop and analyze alternative legislative responses, and to inform the Congress of impending imminent and long-range problems and possible solutions. The work provides an authoritative basis for major legislation critically affecting important industries and interest groups that frequently have divergent interests and expectations. (See also 1-9, illustration #1.)
2. The purpose of the work is to plan and conduct studies of congressional rules, procedures, and organization; to aid in hearings and markup sessions, and to develop and present policy and procedural alternatives to Members and committees of Congress. The work directly serves Members and committees in their conduct of internal business as well as in their overall legislative and oversight functions. (See also 1-9, illustration #2.)
3. The purpose of the work is to plan, conduct, and coordinate broad, comprehensive policy studies of national significance such as the use and value of national public works programs. Defines issues in consultation with decision makers, designs methods to be used in gathering appropriate data, develops concepts to effectively review and evaluate statistical data and narrative information. Organizes and presents study results in the form of detailed written reports containing a wide variety of findings, options, and alternatives to decision makers at the primary policy level of the executive branch for their use in proposing long-range national policies and goals. (See also 1-9, illustration #3.)

4. The purpose of the work is to plan, conduct, and direct extremely broad, long-term, and far-reaching studies such as multi year, multidisciplinary studies dealing with the legal, economic, organizational structure, and other aspects of competition in the energy industry. Examines the extremely broad and varied issues, designs and develops information gathering techniques and methods, and reviews and organizes overall study results. Options and alternatives developed serve as an authoritative, comprehensive foundation for regulatory action and legislative proposals. (See also 1-9, illustration #4.)
5. The purpose of the work is to plan, conduct, and coordinate long-range scientific and engineering studies relevant to the analysis of the various national issues involved in the management of the U.S. coastal zone. In consultation with decision-makers, identifies and defines issues, personally performs and/or coordinates efforts of others in collecting appropriate data, reviews and analyzes quantitative and qualitative information, and organizes and presents options to policy makers of the agency. The work performed provides decision makers with detailed, authoritative analyses of the wide variety of issues, options, and alternatives to be considered in proposing legislation, regulations, or other initiatives affecting coastal zone management. (See also 1-9, illustration #5.)
6. The purpose of the work is to plan, conduct, and coordinate comprehensive policy studies involving the assessment of alternative arms limitation proposals. The analyses and options developed by the analyst provide agency policy makers with authoritative technical and scientific information on which to base decisions affecting arms limitations negotiations. (See also 1-9, illustration #6.)
7. The purpose of the work is to plan, conduct, and coordinate comprehensive analyses of the Social Security system. The analyses and options developed by the analyst provide congressional Members and committee staff with authoritative information on which to base decisions acting millions of Social Security recipients and taxpayers -- both now and for decades into the future. (See also 1-9, illustration #7.)

8. The purpose of the work is to plan and conduct studies of various policy issues associated with congressional or Presidential elections; to provide advice, analysis and other assistance to Members and committees of Congress during various stages in the legislative process, including introduction, hearings, mark-up sessions, reports, floor debates and conferences, during which major statutory or constitutional modification of the Federal election process is under consideration. The work provides an authoritative and comprehensive foundation for congressional consideration of public policy issues related to the election of Members of Congress and the President of the United States. (See also 1-9, illustration #8.)
9. The purpose of the work is to plan and conduct studies of various public policy aspects of Federal tax law in order to provide advice, analysis, and other assistance to

Members and committees of Congress during various stages in the legislative process, including introduction, hearings, markup sessions, reports, floor debates, and conferences, during which major alterations in the federal tax structure or major public policy issues with tax aspects are under consideration. The work provides an authoritative and comprehensive foundation for congressional consideration of public policy issues associated with the Federal tax structure and of use of the taxing power as an element in the solution of other complex public policy issues. (See also 1-9, illustration #9.)

## **FACTOR 6, PERSONAL CONTACTS**

This factor includes face-to-face contacts and telephone dialogue with persons not in the normal supervisory chain which are essential for the successful performance of the work of the analyst. (Note: Personal contacts with supervisors are covered under Factor 2, Supervisory Controls.) Levels described under this factor are based on what is required to make the initial contact, the difficulty in communicating with those contacted, and the setting in which the contact takes place (e.g., the degree to which the analyst and those contacted recognize their relative roles and authorities).

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Above the lowest level, points should be credited for this factor only for contacts which are essential for successful performance of the work and which have a demonstrable impact on the difficulty and responsibility of the work performed.

The relationship of Factors 6 and 7 presumes that the same contacts will be evaluated for both factors. Therefore, use the personal contacts which serve as the basis for the level selected for Factor 7 as the basis for selecting a level for Factor 6.

### **Level 6-1 -- 10 Points**

Personal contacts are primarily with other analysts and support staff within the immediate office, and in related or support units. Contacts may also be made with staff of offices requesting information and assistance in highly structured situations, e.g., when transmitting simple factual information. Contacts with staff of offices which may lead to commitments regarding scope of work or commit employing office to a deadline are left to the supervisor.

### **Level 6-2 -- 25 Points**

Personal contacts are with analysts and specialists within the agency, with professional staffs of other agencies involved in policy analysis work, and with requesting policy making staff officials. Persons contacted are frequently professionals engaged in activities related to the analyst's professional specialization. Contacts with staff of offices outside of the employing agency may be moderately unstructured in that the role and authority of participants initially may be unclear.

### **Level 6-3 -- 60 Points**

Personal contacts are with analysts and specialists within the agency, with professionals and program directors in executive, legislative, or judicial branch agencies, with professionals in universities and private research organizations, with members of trade associations and public interest groups, with State and local government officials, or with staffs of Members of Congress and committees. Contacts may be initiated by the analyst, the person requesting information and/or assistance, or another party, and frequently involve unstructured face-to-face meetings. Some contacts with specific individuals are frequent and recurring since the analyst frequently functions in a liaison capacity with policy making staff officials.

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### Level 6-4 -- 110 Points

Personal contacts are with officials at the policy making level and their senior staff, e.g., executive level appointees and their senior staff, Members of Congress and their senior staff, with senior staff of congressional committees, with high-level policy analysis and program staff in other agencies, with high ranking state and local officials, and with individuals of recognized professional standing in academic, research, professional, and national and international public interest and trade organizations. Contacts are often characterized by their unstructured settings, by the presence and participation of policy making support staff, by the flexibility of approach and breadth of subject matter, and by the need to establish during the contact the role and authority of the participants. Contacts with specific policy makers and senior staff are usually frequent and recurring since the analyst generally works in a liaison capacity. Contacts may be initiated by other parties as well as by the policy analyst.

## **FACTOR 7, PURPOSE OF CONTACTS**

In General Schedule occupations, the purpose of personal contacts ranges from factual exchanges of information to situations involving significant or controversial issues and differing viewpoints, goals, or objectives. The personal contacts which serve as the basis for the level selected for this factor must be the same as the contacts which are the basis for the level selected for Factor 6.

### Level 7-1 -- 20 Points

The purpose of the contact is to obtain, exchange, or relate noncontroversial factual information.

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### Level 7-2 -- 50 Points

The purpose of the contact is to obtain or clarify information; or, in furtherance of the policy analysis/policy making process, to plan and coordinate work efforts to provide factual and analytical information on public policy questions. Individuals contacted are generally cooperative at this level.

### Level 7-3 -- 120 Points

The purpose of the contact is to summarize, interpret, and relate information on difficult or misunderstood public policy questions; to present alternative approaches to policy questions to groups and individuals with differing viewpoints and goals; to inform policy makers of the analytical capabilities of the policy analyst's organization as they relate to various projects and issues; and to establish working relationships among policy analysis staffs in other agencies and other branches of the Federal Government. The establishment of contacts is frequently an important aspect of the work at this level and requires tact and negotiating skills.

#### Level 7-4 -- 220 Points

The purpose of contacts at this level is to present information and balanced analyses of recognized professional competence on complex public policy questions to policy makers; to participate in conferences, meetings, or presentations involving problems or public policy issues that have great sensitivity of national or international consequence or importance; to establish and maintain liaison with executive branch appointees and/or Members of Congress and their respective staffs on issues and legislation of mutual interest and concern; to negotiate with policy makers on the type, nature, and timing of policy analysis assistance; to correlate professional knowledge and expertise with public policy questions; to identify emerging issues within their area of competence for clients; to coordinate major research and analytical efforts for the solution of important public policy questions; and to confer with and advise policy makers and their staffs on legislative approaches to national issues (including assistance during congressional hearings).

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### **FACTOR 8, PHYSICAL DEMANDS**

The "Physical Demands" factor covers the requirements and physical demands placed on the analyst by the work assignment. This includes physical characteristics and abilities (e. g., specific agility and dexterity requirements) and the physical exertion involved in the work (e.g., climbing, lifting, pushing, balancing, stooping, kneeling, crouching, crawling, or reaching). To some extent the frequency or intensity of physical exertion must also be considered, e.g., a position requiring prolonged standing involves more physical exertion than a job requiring intermittent standing.

#### Level 8-1 -- 5 Points

The work is sedentary; it is usually accomplished while the analyst is comfortably seated at a desk or table. There is some walking and some travel to meetings and conferences away from the worksite. Items carried typically include light objects such as briefcases, notebooks, workpapers, and data printouts. Lifting of moderately heavy objects generally is not required. No special physical effort or ability is required to perform the work.

## **FACTOR 9, WORK ENVIRONMENT**

The "Work Environment" factor considers the risks and discomforts in the analyst's physical surroundings or the nature of the work assigned and the safety regulations required. Although the use of safety precautions can practically eliminate a certain danger or discomfort, such situations typically place additional demands upon the employee in carrying out safety regulations and techniques.

NOTE: Regulations governing pay for irregular or intermittent duty involving unusual physical hardship or hazard are in Chapter 550, Federal Personnel Manual.

### **Level 9-1 -- 5 Points**

The work environment includes the array of risks and discomforts normally found in offices, conference rooms, libraries, and similar settings in public buildings. Common sense safety precautions are observed in using stairways and elevators, crossing streets, riding in public conveyances and commercial vehicles, and in operating office equipment. When driving an automobile the analyst obeys traffic laws and rules of the road. Work is usually performed in an adequately lighted, heated, and ventilated office setting. There may be intermittent exposure to varied weather conditions when traveling to and from the worksite which occasionally necessitates the use of an umbrella, raincoat, gloves, hat, and the like.